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Applicant: TAKAYAMA et al. Examiner: D. R. Flores Ruiz
Serial No.: 10/796704 Group Art Unit: 2828
Filed: March 9, 2004 Docket: 10873.1414US01
Title: SEMICONDUCTOR LASER DEVICE AND OPTICAL PICK UP
APPARATUS USING THE SAME

CERTIFICATE UNDER 37 CFR 1.6(d): I hereby certify that this paper is being transmitted by facsimile to the U.S. Patent and Trademark Office on FEBRUARY 6, 2007.

By: 
Name: NICOLE LANDREE

INFORMATION DISCLOSURE STATEMENT

Mail Stop Petition
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

With regard to the above-identified application, the items of information listed on the enclosed Form 1449 are brought to the attention of the Examiner. Copies of any foreign patent documents or "Other Documents" are enclosed. A concise explanation of the relevance of each non-English language document or other information is as follows (37 C.F.R. §1.98(a)(3)): JP 2000-312052 corresponds to US 6,807,213.

In accordance with the provisions of 37 C.F.R. §1.97, this statement is being filed (CHECK ONE):

- ☒ (1) within three (3) months of the Filing Date, before the mailing date of a First Office Action on the merits, or before the mailing date of a First Office Action on the merits after the filing of a request for continued examination under 37 C.F.R. §1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a Final Rejection or Notice of Allowance, and
- ☐ the requisite Statement is below, OR
- ☐ the requisite fee of \$180.00 under Rule 1.17(p) is included herein, or

- ☐ (3) after the mailing date of a Final Rejection or Notice of Allowance but on or before the payment of the Issue Fee, AND the requisite Statement is below AND the requisite fee of \$180.00 under Rule 1.17(p) is included herein.

STATEMENT

Applicants hereby state that:

- ☒ Each item of information contained in the Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart application or by the USPTO in a related application not more than three months prior to the filing date of the Information Disclosure Statement

- ☒ If this box is checked, Applicant provides the following:

Certification Under 37 C.F.R. §1.704(d)

In accordance with 37 C.F.R. §1.704(d), the undersigned hereby certifies that each item listed on the enclosed Form 1449 was first cited in a communication from a foreign patent office in a counterpart application, and that this communication was not received by any individual designated in 37 C.F.R. §1.56(c) more than thirty (30) days prior to the filing of this Information Disclosure Statement.

- ☐ The Examiner is hereby advised of the following co-pending U.S. applications. A copy of each U.S. patent application publication (if published) or application (if not published) is enclosed.

Application No.

Filing Date

Group

No representation is made that a reference is "prior art" within the meaning of 35 U.S.C. §§ 102 and 103 and Applicants reserve the right, pursuant to 37 C.F.R. § 1.131 or otherwise, to establish that the reference(s) are not "prior art." Moreover, Applicants do not represent that a reference has been thoroughly reviewed or that any relevance of any portion of a reference is intended.

Consideration of the items listed is respectfully requested. Pursuant to the provisions of M.P.E.P. 609, it is requested that the Examiner return a copy of the attached Form 1449, marked as being considered and initialed by the Examiner, to the undersigned with the next official communication.

FEE AUTHORIZATION

Should any fee associated with the submission of this paper not be attached hereto as a check, the Commissioner is authorized to charge the missing fee to our Deposit Account, No. 50-3478. Any overpayments should be credited to said Deposit Account.

Respectfully submitted,

HAMRE, SCHUMANN, MUELLER &
LARSON, P.C.

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Dated: February 6, 2007

By: 

Douglas P. Mueller
Reg. No. 30,300

DPM:nel

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Sheet 1 of 1

Date Mailed: FEBRUARY 6, 2007

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| FORM 1449* INFORMATION DISCLOSURE STATEMENT IN AN APPLICATION (Use several sheets if necessary) | Docket Number: 10873.1414US01 | Application Number: 10/796,704 |
| | Applicant: TAKAYAMA et al. | |
| | Filing Date: March 9, 2004 | Group Art Unit: 2828 |

| U.S. PATENT DOCUMENTS | | | | | | | |
|--|--------------|------------|------------------|-------|----------|-------------------------------|----|
| EXAMINER INITIAL | DOCUMENT NO. | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE | |
| | 6,807,213 | 10.19.2004 | Shimoyama et al. | | | | |
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| FOREIGN PATENT DOCUMENTS | | | | | | | |
| | DOCUMENT NO. | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION | |
| | | | | | | YES | NO |
| | 2000-312052 | 2000.11.7 | JP | | | SEE IDS | |
| | 2002-26450 | 2002.1.25 | JP | | | ABSTRACT | |
| | 2002-237073 | 2002.8.23 | JP | | | ABSTRACT | |
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| OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.) | | | | | | | |
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| EXAMINER | DATE CONSIDERED |
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form for next communication to the Applicant. | |

*Substitute Disclosure Statement Form (PTO-1449)

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

PAGE 7/49 * RCVD AT 2/6/2007 3:41:51 PM [Eastern Standard Time] * SVR:USPTO-EFXRF-3/18 * DNIS:2738300 * CSID:612-455-3801 * DURATION (mm-ss):23-02